



PRODUCT EVALUATION PROGRAM VENDOR SUBMITTAL GUIDE

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1. Overview

The California Department of Transportation's (Caltrans) Product Evaluation Program ensures the objective, impartial, and consistent evaluation of products for use in the construction, maintenance, and operation of the State's transportation system.

The Product Evaluation Program is dedicated to the evaluation of products that are fully developed and commercially available. Products in the design, development, or testing phases are not evaluated. Products submitted must be fully developed and tested, and possess conclusive test data validating the effectiveness of the product.

This Vendor Submittal Guide outlines the steps necessary to submit a product for evaluation.

Products submitted through the Product Evaluation Program will be subject to review by Caltrans' Office of Health and Safety Services. Products must be in compliance with the applicable health and safety regulations. Vendors will be required to submit Safety Data Sheets (SDS) as specified in Section 2.2 of this guide.

For inquiries, please refer to the Product Evaluation Program website at <http://www.dot.ca.gov/pep/> or contact the Product Evaluation Coordinator at (916) 227-7073 or via e-mail at new.products@dot.ca.gov

2. Product Evaluation Submittals

2.1. Determining Submittal Type

Prior to submitting a product for review, determine if the product meets the criteria for a **new product** or a product for an existing **Authorized Material List (AML)**.

2.1.1. New Products

The following criteria must be met for a product to be considered a New Product:

1. An existing AML does not exist for the product category
2. The product does not meet any of the following Caltrans Specifications:
 - a) Current Standard Specifications
 - b) Current Revised Standard Specifications (RSS)
 - c) Current Standard Special Provisions (SSP)

For the current Caltrans specifications, go to:

<http://www.dot.ca.gov/des/oe/construction-contract-standards.html>

If the above criteria is met, submit your request to evaluate a **New Product** using the *New Product Evaluation Submittal Form* (Form TL-9501)

<http://www.dot.ca.gov/pep/docs/TL9501.pdf>

When using the *New Product Evaluation Submittal Form* (Form TL-9501), identify the applicable section of Caltrans Standards Specifications or SSP and what portions of the Caltrans Standard Specifications the product currently complies with. It is highly

recommended to include any references to externally managed specifications (ASTM, AASHTO, FHWA, FAA, other DOT, etc.) the product currently complies with (if applicable).

2.1.2. Products for Existing Authorized Material Lists

Caltrans maintains Authorized Material Lists (AMLs) of preapproved materials or products authorized to be used in construction projects. Each AML has a corresponding authorization criteria. For the current AMLs, go to:

<http://www.dot.ca.gov/aml/>

The following criteria must be met for a product to be considered for addition to an existing AML:

1. The product falls under an existing AML category
2. The product meets the corresponding Authorization Criteria for the AML.

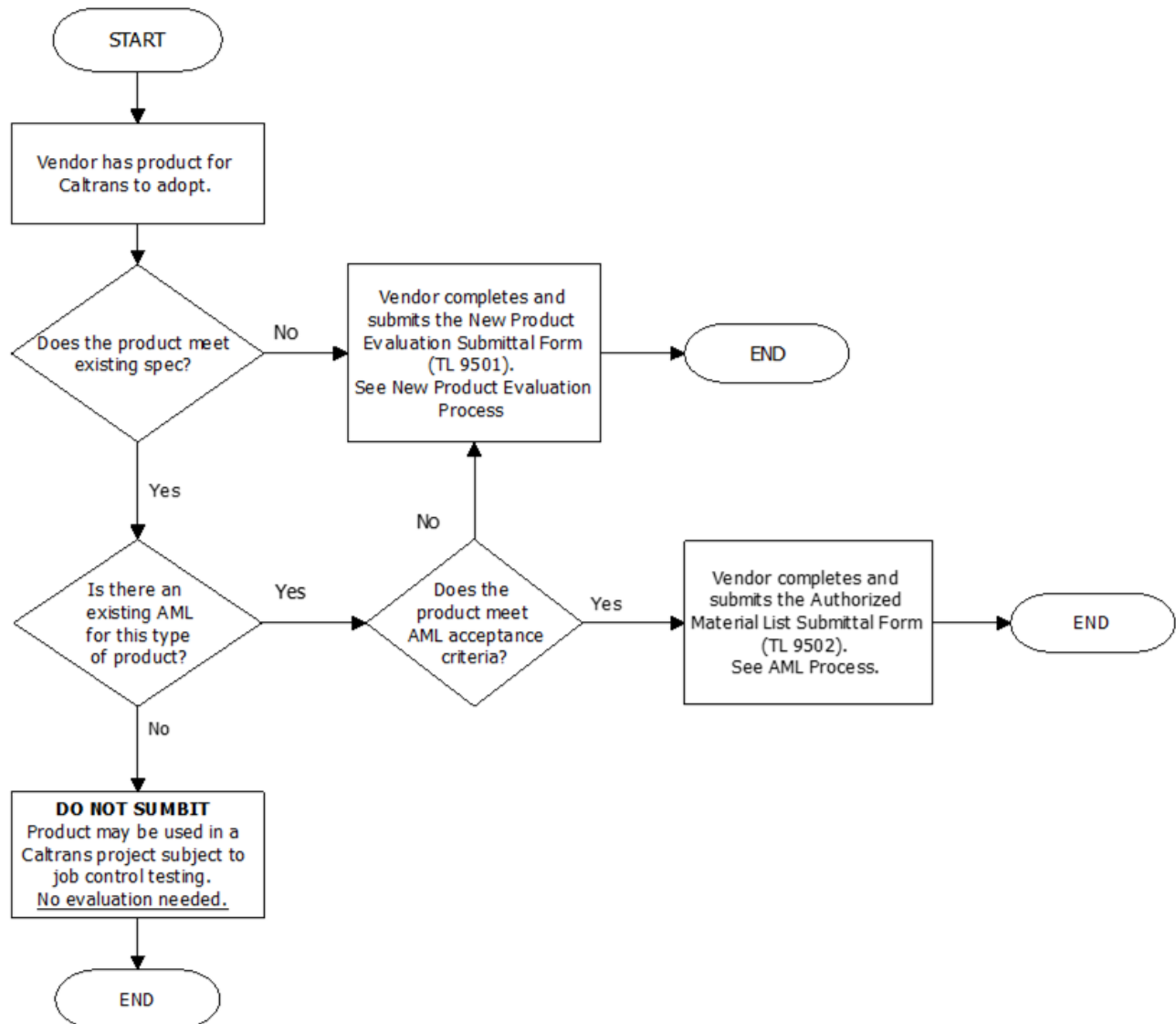
Submit a request to evaluate a product for addition to an existing AML using the *Authorized Material List Submittal Form* (Form TL-9502).

<http://www.dot.ca.gov/pep/docs/TL9502.pdf>

If a product meets the category for an existing Authorized Material List, but does not meet the Authorization Criteria, the vendor must submit a *New Product Evaluation Submittal Form* (Form TL-9501).

2.1.3. Vendor Decision Map

Use the following flowchart to determine if the product should be submitted for evaluation and the applicable forms to be used:



2.2. Submittal Packages

The product evaluation submittal package must be complete. The submittal form includes a checklist. The vendor must ensure that every item on the checklist is included in the submittal package. The submittal packages must include at least:

1. *New Product Evaluation Submittal Form* (Form TL-9501) or *Authorized Material List Submittal Form* (Form TL-9502).
2. Safety Data Sheet (SDS), if required.
3. Product literature (brochures, cut sheets, specifications, etc.).
4. Test data from an independent Qualified Laboratory, including supporting documentation to verify the testing laboratory's accreditation status.
5. Quality control plan.
6. Contact or reference list, if applicable, identifying other entities that are utilizing the product.
7. Any additional information or test data required by the Authorization Criteria for an AML

Each submittal form must be filled out completely by the vendor. Any omissions will result in delays in the review and possible rejection of the product.

If the Product Evaluation Coordinator or the Technical Committee requests information from the vendor, the vendor must respond to the request in a timely manner. Failure to respond in a timely manner will result in termination of product review. If the vendor does not submit the requested information within an agreed upon timeframe, the submittal will be closed.

If a SDS is required, the SDS must provide full disclosure of all hazardous ingredients. Full disclosure also includes disclosure of chemical components used in the formation of products, including products that may be defined as an "Article" under 29 CFR 1910.1200. Incomplete SDS submittals will result in the termination of product review.

Products on AMLs that require special handling for which training or equipment cannot be provided for Caltrans employees will be identified for contractor use only.

2.3. Electronic Submittals

All product evaluation submittal requests must be submitted electronically to the following email address:

New.Products@dot.ca.gov

After the Product Evaluation Coordinator receives a complete submittal, the coordinator assigns a tracking number to the submittal. The coordinator will respond to the vendor with an acknowledgment letter indicating the tracking number and identifying the Technical Committee within Caltrans performing the evaluation.

2.4. Acceptance or Rejection of a Product

After the Technical Committee performs the evaluation, the vendor will receive in a letter of acceptance or rejection.

For your product submitted for addition to an existing **AML** is accepted, the product will be incorporated into the respective AML. Please refer to Section 3 of this guide regarding retaining authorization status of your product.

For your **New Product** is accepted, Caltrans will provide the vendor a work plan for further implementation into Caltrans Standards.

3. Retaining Products on AMLs

3.1. Reauthorization of Products

Products on existing AMLs are typically given an authorization period (1 year, 3 years, 5 years, etc.) for which the product is authorized for use on Caltrans projects. Due to several factors (cost of testing, usage, volume, etc.), AMLs will have different authorization periods. As it pertains to this document, the authorization period is the date the product is authorized and placed on the list until the re-authorization date shown.

To retain a product on an existing AML, Caltrans requires vendors to provide a reauthorization package. Please go to the AML website (<http://www.dot.ca.gov/aml/>) and select the AML's Authorization Criteria to review the reauthorization requirements of your product.

Please send the required information to the respective AML Administrator. AML Administrator contact information can be found within the Authorization Criteria document.

3.2. Product Changes

Products may undergo changes that may or may not alter the performance of the product. Depending on changes, a complete resubmittal may be required to retain the product on the AML.

Product name changes with no change on formulation or performance will require a notification from the Vendor to the respective AML Administrator. Vendors will need to include the original product name along with the new product name in your notification.

Any time the composition, formulation, or performance characteristics of a product is changed, a new submittal is required. Vendors will need to contact the respective AML Administrator so that appropriate action may be performed on the existing product.

3.3. Removal of a Product from an Authorized Material List

Caltrans reserves the right to remove any product from an existing AML if Caltrans determines within its sole discretion the product does not perform satisfactorily. The AML Administrator will notify the vendor of the product's removal from the AML.

Products will be removed from an existing AML for any of the following reasons:

1. **Revised Authorization Criteria:** The Authorization Criteria for an AML may be revised. The AML Administrator will re-examine the original submittal information from the vendor and notify those vendors whose products no longer meet the new Authorization Criteria. Vendors will be notified at least 60 days prior to the

implementation of the new Authorization Criteria. This will give the vendor the opportunity to submit new information in order to keep the product on the AML.

2. **Performance:** Failure of the product to consistently perform in the field. Negative feedback may lead to removal of a product from an existing AML. Failure of an individual field quality assurance test at the time of placement does not, by itself, constitute removal from an AML. Vendors should be notified of field test failures and given the opportunity to investigate and improve their procedures. The AML Administrator and Owner will need to investigate the cause of the product failure and determine whether removal of the product from an existing AML is warranted.
3. **Outdated or Requested:** When the Product becomes obsolete, is no longer manufactured, or is requested to be removed by the Vendor.

To request the revision or removal of your product on the AML, please contact the respective AML Administrator.

3.4. Re-submittal of Removed Products

Products removed from an existing AML (outside of a written request from a Vendor) may be resubmitted for consideration after a moratorium period of one year if the Vendor can demonstrate to the AML Administrator's satisfaction that the root cause for removal from the list has been addressed.

4. Appeals Process

4.1. General

If the vendor does not agree with the product evaluation decision, the vendor may elect to appeal the decision. Appeals must be submitted to the Product Evaluation Coordinator within 30 days of receiving the decision. The appeal must include compelling reasoning to reverse the rejection.

The appeal will be reviewed by the respective parties of the Technical Committee that performed the initial evaluation.

4.2. Final Decisions

If it is deemed a re-evaluation of the product is necessary, a re-evaluation is typically conducted within 30 days. A final decision from the re-evaluation will be communicated to the vendor for approval or rejection of the product.